

US Department of Commerce  
Patent and Trademark Office

Atty. Docket No.:

02821.P001XC

Application No.:

09/904,707

Applicant:

Maggioncalda, et al.

Filing Date:

July 12, 2001

# 4

Form PTO-1449 (Modified)

US Patent Documents

Examiner's Initials	Date	Document Number	Name	Class	Sub- Class	Filing Date
<i>D</i>	01/04/00	6,012,043	Albright et al.	<del>705</del>	<del>36</del>	<del>09/09/96</del>
<i>D</i>	03/20/90	4,910,676	Allredge			
<i>D</i>	06/08/99	5,911,136	Atkins	<del>705</del>	<del>36</del>	<del>03/26/97</del>
<i>D</i>	01/26/99	5,864,828	Atkins	<del>705</del>	<del>36</del>	<del>08/27/91</del>
<i>D</i>	02/23/99	5,875,437	Atkins	<del>705</del>	<del>40</del>	<del>04/15/97</del>
<i>D</i>	03/16/99	5,884,285	Atkins	<del>705</del>	<del>36</del>	<del>01/16/92</del>
<i>D</i>	08/28/90	4,953,085	Atkins			
<i>D</i>	06/08/99	5,911,135	Atkins	<del>705</del>	<del>36</del>	<del>04/16/91</del>
<i>D</i>	07/01/97	5,644,727	Atkins			
<i>D</i>	07/13/93	5,227,967	Bailey	<del>364</del>	<del>408</del>	<del>03/20/89</del>
<i>D</i>	06/15/93	5,220,500	Baird et al.			
<i>D</i>	01/04/00	6,012,042	Black et al.	<del>705</del>	<del>36</del>	<del>08/16/96</del>
<i>D</i>	06/30/92	5,126,936	Champion et al	<del>364</del>	<del>408</del>	<del>09/01/89</del>
<i>D</i>	07/27/99	5,930,774	Chennault	<del>705</del>	<del>36</del>	<del>01/29/96</del>
<i>D</i>	11/16/99	5,987,433	Crapo	<del>705</del>	<del>36</del>	<del>06/03/96</del>
<i>D</i>	06/18/91	5,025,138	Cuervo			
<i>D</i>	09/15/92	5,148,365	Dembo	<del>364</del>	<del>402</del>	<del>08/15/89</del>
<i>D</i>	10/10/72	3,697,693	Deschenes et al.			
<i>D</i>	11/23/99	5,991,744	DiCresce	<del>705</del>	<del>36</del>	<del>10/31/97</del>
<i>D</i>	06/12/90	4,933,842	Durbin et al.			
<i>D</i>	04/11/97	5,884,287	Edesess	<del>705</del>	<del>36</del>	<del>04/11/97</del>
<i>D</i>	10/06/98	5,819,238	Fernholz	<del>705</del>	<del>36</del>	<del>12/13/96</del>
<i>D</i>	01/07/97	5,592,379	Finrock et al.	<del>395</del>	<del>239</del>	<del>10/06/94</del>
<i>D</i>	06/21/92	5,132,899	Fox	<del>364</del>	<del>408</del>	<del>10/16/89</del>
<i>D</i>	11/25/97	5,692,233	Garman	<del>705</del>	<del>36</del>	<del>02/03/95</del>
<i>D</i>	11/28/95	5,471,575	Glansante	<del>395</del>	<del>144</del>	<del>01/03/92</del>
<i>D</i>	08/03/99	5,933,815	Golden	<del>705</del>	<del>35</del>	<del>05/01/95</del>
<i>D</i>	11/24/98	5,839,804	Ho	<del>312</del>	<del>223.2</del>	<del>06/22/97</del>
<i>D</i>	05/03/88	4,742,457	Leon et al	<del>364</del>	<del>408</del>	<del>08/27/85</del>
<i>D</i>	02/10/87	4,642,767	Lerner			
<i>D</i>	09/19/89	4,868,376	Lessin et al.			
<i>D</i>	11/16/99	5,987,434	Libman	<del>705</del>	<del>36</del>	<del>06/10/96</del>
<i>D</i>	10/24/89	4,876,648	Lloyd			
<i>D</i>	03/31/92	5,101,353	Lupien et al	<del>364</del>	<del>408</del>	<del>05/31/89</del>
<i>D</i>	09/22/98	5,812,987	Luskin et al.	<del>705</del>	<del>36</del>	<del>03/13/95</del>
<i>D</i>	01/29/91	4,989,141	Lyons et al.			
<i>D</i>	06/29/99	5,918,217	Maggioncalda et al.	<del>705</del>	<del>36</del>	<del>12/10/97</del>
<i>D</i>	03/16/99	5,884,283	Manos	<del>705</del>	<del>30</del>	<del>09/05/96</del>

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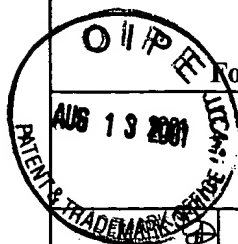
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	07/27/99	5,930,775	McCauley et al.	<del>705</del>	<del>38</del>	<del>01/14/97</del>
<del>D</del>	07/01/98	5,784,696	Melnikoff	<del>705</del>	<del>36</del>	<del>06/06/95</del>
<del>D</del>	12/14/99	6,003,018	Michaud et al.	<del>705</del>	<del>36</del>	<del>09/09/98</del>
<del>D</del>	02/08/77	4,007,355	Moreno			
<del>D</del>	06/15/99	5,913,202	Motoyama	<del>705</del>	<del>35</del>	<del>06/13/97</del>
<del>D</del>	08/24/82	4,346,442	Musmanno			
<del>D</del>	03/15/83	4,376,978	Musmanno			
<del>D</del>	06/24/86	4,597,046	Musmanno et al.			
<del>D</del>	09/27/88	4,774,663	Musmanno et al.			
<del>D</del>	08/17/93	5,237,500	Perg et al	<del>364</del>	<del>408</del>	<del>02/27/90</del>
<del>D</del>	09/08/98	5,806,049	Petruzzi	<del>705</del>	<del>36</del>	<del>09/30/96</del>
<del>D</del>	01/25/00	6,018,722	Ray et al.	<del>705</del>	<del>36</del>	<del>06/19/97</del>
<del>D</del>	01/26/88	4,722,055	Roberts			
<del>D</del>	06/21/88	4,752,877	Roberts et al.			
<del>D</del>	12/31/96	5,590,037	Ryan et al.	<del>395</del>	<del>204</del>	<del>09/17/93</del>
<del>D</del>	01/11/71	3,634,669	Soumas et al.			
<del>D</del>	09/26/95	5,454,104	Steidlmayer et al.			
<del>D</del>	10/08/96	5,563,783	Stolfo et al	<del>364</del>	<del>408</del>	<del>04/04/95</del>
<del>D</del>	06/08/82	4,334,270	Towers			
<del>D</del>	06/04/96	5,523,942	Tyler et al.	<del>364</del>	<del>401</del>	<del>03/31/94</del>
<del>D</del>	01/26/99	5,864,827	Wilson	<del>705</del>	<del>35</del>	<del>06/27/97</del>
<del>D</del>	12/05/89	4,885,685	Wolfberg et al.			
<del>D</del>	03/03/87	4,648,037	Valentino	<del>364</del>	<del>408</del>	<del>03/15/84</del>
<del>D</del>	06/22/93	5,222,019	Yoshino et al	<del>364</del>	<del>408</del>	<del>10/03/91</del>

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Examiner's Initials	Date	Document Number	Country	Class	Sub-Class	Translation
<del>D</del>	12/01/93	0 572 281 A1	Europe	<del>G06F</del>	<del>15/30</del>	Yes
<del>D</del>	02/04/99	WO 99/05625	PCT	<del>G06F</del>	<del>17/60</del>	
<del>D</del>	02/29/96	WO 96/06402	PCT	<del>G06F</del>	<del>17/60</del>	Yes
<del>D</del>	10/08/98	WO 98/44444	PCT	<del>G06F</del>	<del>19/00</del>	Yes
<del>D</del>	04/02/98	WO 98/13776	PCT	<del>G06F</del>	<del>17/60</del>	Yes
<del>D</del>	12/03/98	WO 98/54666	PCT	<del>G06F</del>	<del>17/60</del>	
<del>D</del>	04/01/99	WO 99/15985	PCT	<del>G06F</del>	<del>15/30</del>	
<del>D</del>	05/06/99	WO 99/22323	PCT	<del>G06F</del>	<del>17/60</del>	
<del>D</del>	02/21/91	WO 91/02326	PCT	<del>G06F</del>	<del>15/21</del>	

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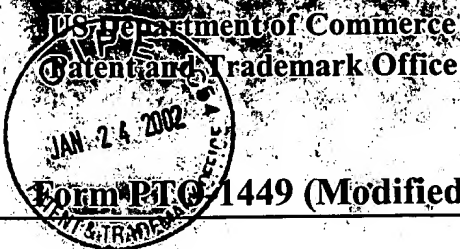
Examiner

Thomas A. [Signature]

Date Considered

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### US Patent Documents

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### Foreign Patent Documents

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B	Sharpe, William F., AAT Asset Allocation Tools, The Scientific Press, 1985, pp. 84-85; pp. 93-96.
Examiner	Thomas A. Dyer
Date Considered	8/22/02

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Voros, J. "Portfolio analysis--An analytic derivation of the efficient portfolio frontier." European Journal of Operations Research, vol. 23, No. 3, pp. 294-300, Mar. 1986.

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